

Caltrans Statewide Small Business Council – Meeting Record
District 2 West Venture Building – 1031 Butte St., Redding, CA 96001
September 16, 2016, 8:30 a.m. to 12:00 p.m.

Action/Task	Who is responsible/ presented	By when	Status
A. Meeting called to order at 8:35 a.m.	Janice Salais, Assistant Director		
B. Action Items to Date – Acting Chair Janice Salais			
Action Item from previous meetings:			
ACTION ITEM #3: Acting Chair Salais to take the language on insurance requirements presented by Ms. Llewellyn to Caltrans Legal and OE for review and feedback. In addition, provide insurance requirements for primes.	Chair Salais	9-16-16	CLOSED – per Debbie Hunsaker, Chair of Construction Committee, this matter is going back to the committee to complete.
Action Items from the September 2014 meeting			
1. Distribute SB/DVBE study by DGS	Tanya Little	9-29-16	CLOSED – after discussing this item with DGS, it was revealed the report will not be available to the public for quite a while. The decision was made to close this item and provide a link to the report once it becomes available to the public.
2. SB set aside program – can it be done?	Ramon Carlos	11-18-16	ASSIGNED – OBEO is preparing a white paper on this matter; update on progress at the November SBC meeting.
Action Items from the March 2015 meeting			
Action Item #11: develop a presentation on DBE goal setting (focused separately on construction and A&E) to be delivered during meetings of the Construction and Professional Services Committees.	Ramon Carlos	11-18-16	ASSIGNED – the A&E version is currently being reviewed; update during the November SBC meeting.
Action Item #12: provide updates on DVBE contract percentage requirements.	Ramon Carlos	11-18-16	ASSIGNED – document is still being reviewed; update during the November meeting.
Action Items from the May 2015 meeting			
Action Item #6: how can a non-DBE sub's procurement from a DBE supplier be counted towards a project's goal?	Ramon Carlos	8-4-16	COMPLETED – both the file and the link to the DBE CUF Determinations Fact Sheet were sent to council members via email.
Action Item #8: contractor award process as guided by the Construction Committee.	Committee Co-Chairs Rebecca Llewellyn and Debbie Hunsaker with Ramon Carlos	11-18-16	ASSIGNED – Committee Chair, Debbie Hunsaker, reported Candace Friedman, who is heading up this project, is still out, no progress at this time. Update during the November meeting.

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Action Items from the July 2015 meeting			
Action Item #1: request for training – how to get contracts with Caltrans; in-depth training specific to the process of submitting proposals – would be especially helpful for African American businesses.	Ramon Carlos	11-18-16	ASSIGNED – the pilot for this training is scheduled to roll out on October 13, 2016; randomly selected subs will be going through the training, after which adjustments will be made before it is offered to the industry. Focus is subs working with primes.
Action Item #3: request for a meeting involving Department of General Services (DGS), Caltrans Directors, and SBC members to discuss microbusiness (MB), small business (SB), and disabled veteran business enterprise (DVBE).	Chair Salais	10-5-16	CLOSED – per discussion between Council Member Patten and Chair Salais, this item shall be tabled with the possibility of bringing forth at a later date.
Action Items from the September 2015 meeting			
Action Item #4: explore ways to let primes know a SB or DVBE firm is a legitimate business, i.e., “gold seal of approval”.	Chair Salais and Commodities Committee	11-18-16	ASSIGNED – a white paper is currently a work in progress; update during the November meeting.
Action Items from the November 2015 meeting			
Action Item #1: provide the I-405 close out report.	Chair Salais	11-18-16	ASSIGNED – update during the November meeting.
Action Items from the January 2016 meeting			
Action Item #5: explore the possibility of holding a summit before June 30, 2016, with local agencies to discuss the State’s SB/DVBE/DBE goals.	Ramon Carlos, Chair Salais, Robert Padilla	10-4-16	CLOSED – per discussion with Council Members Stone and Patten, this item shall be tabled with the possibility of bringing forth at a later date.
Action Items from the May 2016 meeting			
Action Item #2: post the Cal eProcure help desk phone number on the SBC web page.	Carole Ching	8-2-16	COMPLETED – links to the DGS website and related DGS links posted to the OBEO website under “Quick Links;” council members were sent the link via email.
Action Items from the July 2016 meeting			
Action Item #1: provide information as relevant regarding grants available to the council members.	Mario Solis	8-5-16	COMPLETED – link to the Federal Register sent to council members via email.
Action Item #2: provide the link to the website for updates regarding the Gerald Desmond Bridge project to the council members.	Ramon Carlos	11-18-16	ASSIGNED – update during the November meeting.
Action Item #3: provide CalMentor district updates as relevant during the council meetings.	Mario Solis	8-2-16	COMPLETED – OBEO has alerted district staff who prepare district director update reports to include information on CalMentor and Mentor Protégé as relevant.

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Action Item #4: provide a presentation to clarify environmental impact and environmental justice reports and how it affects communities.	Sanjay Singh	11-18-16	ASSIGNED – a presentation is scheduled for the November meeting by the Caltrans Environmental Analysis Division.
Action Item #5: provide a presentation focused on CUF (Commercially Useful Function) to the council.	Chair Salais & Tanya Little	11-18-16	ASSIGNED – tentatively scheduled for early 2017.
Action Items from the September 2016 meeting			
Action Item #1: provide a fact sheet clarifying the difference(s) between Small Businesses and Disadvantaged Business Enterprises.	Mario Solis	11-18-16	ASSIGNED – update during the November meeting.
Action Item #2: provide the corrected District 7 report regarding the Gerald Desmond Bridge.	Carole Ching	10-5-16	COMPLETED – addendum with corrected information sent to the council members via email.
<p>A. Agenda review and remarks – Chair Janice Salais</p> <ol style="list-style-type: none"> Reminder – renewal for SBC membership begins November 1; most members are at the end of their 4-year term and will need to submit a regular application in order for their organizations to continue with the council. DBE reports – Ramon Carlos reviewed the various OBEO reports on DBE and DVBE utilization; all reports can be found on the OBEO website under “Reports (DBE/DVBE Data).” <p>B. Action Item review – refer to Action Item list, pages 1 to 3 of this meeting record.</p> <p>C. Highlights from the Director’s Office – Kome Ajise, Chief Deputy Director</p> <ol style="list-style-type: none"> Announced Janice Salais has been appointed the new Assistant Director of OBEO – looking forward to more program advances, noted bigger strides have been made possible due to Ms. Salais. This is especially important given the fact that Caltrans will be setting new goals as an outcome of the recent Disparity Study. Caltrans will be reasonably aggressive in moving the bar up and stretching itself, while being mindful to not make things impossible to attain. There will be more discussion in the weeks to come. Legislative updates <ol style="list-style-type: none"> Of the many bills proposed, 13 were related to transportation, but not many directly related to Small Business. Transportation funding has still not been resolved – the Department still feels there will be hope after the November elections, perhaps by the end of the year, for funding legislation. Funding alternatives – anticipate activity in January 2017; this remains a serious issue. District 4 Director Bijan Sartipi noted Caltrans should be acknowledged for the hard work it has accomplished over the past 15 years, delivering all that the agency has been tasked to do. As a result, Caltrans will again be receiving annual re-obligated federal funds of \$290 million. DBE changes coming – Council Member Rebecca Llewellyn asked if there was hope to have their voices heard in regards to the proposed changes. Mr. Ajise responded yes, with the public hearings of which there will be further discussion. Mr. Carlos noted the public meetings are being rescheduled; current schedule would not have given people enough time to plan attending. The new schedule will be sent to the council members and posted on the OBEO website. Methodology used in regards to non-minority women – Ms. Cunningham inquired about this matter; Mr. Carlos stated the firm handling the study looked at state and federal sources, drawing from three sets of data, not just one. <p>D. FHWA update – Lance Yokoto (teleconference)</p>			

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<ol style="list-style-type: none"> 1. Re-obligated funds – Caltrans has always been ready to handle projects on short notice, which is why it is selected every year to receive these funds. This year, the amount is about \$293 million. 2. Alternative forms of collecting funds, such as the road charge pilot - which FHWA has been encouraging states to consider - is currently being supported by \$700,000 from FHWA. 3. Reaching 13.04% utilization is recognized as a significant achievement. 			
<p>E. District 2 Report – Dave Moore, District Director Refer to the District 2 report posted on the OBEO web page.</p> <ol style="list-style-type: none"> 1. Mr. Moore thanked his staff, led by Small Business Liaison, Becky Alexander, for handling the tour of the Sundial Bridge and dinner afterwards for the council members. Council Members Eddy Lau and Fred Jordan expressed their appreciation for the activities the district planned for the council, and especially enjoyed the tour of the Sundial Bridge. 2. The district is currently focusing on increasing its outreach efforts – forming, building, and fostering partnerships with various groups to provide more services to SBs locally. 3. California PUC partnership – activities are planned for 2017. 4. CalMentor program – will initiate activities in the spring; a “meet the primes” event is scheduled for January. 			
<p>F. District 1 Report – Charlie Fielder, District Director Refer to the District 1 reports posted on the OBEO web page. Additional comments:</p> <ol style="list-style-type: none"> 1. Mr. Fielder acknowledged his district’s Small Business Liaison, Matthew Philp, for helping District 2 over the past couple of days with the SBC meeting. 2. Mr. Fielder noted there has been much activity in the district, especially the coast. 3. Council Member Fred Jordan asked for more information on the district’s outreach to Native American businesses – Mr. Fielder stated 58 federally recognized tribes are included in the district’s outreach efforts; most tend to be rural-based. Mr. Jordan suggested contact information be sent to OBEO to recruit prospective council members. 			
<p>G. District 3 Report – Susan Elkins, Deputy District Director, Administration, for District Director Amarjeet Benipal Refer to the District 3 reports posted on the OBEO web page. Additional comments:</p> <ol style="list-style-type: none"> 1. Re: procurement figures – the district is working on quantifying their numbers more efficiently, cited District 1 Director, Charlie Fielder, as a great example to follow. 2. The district’s recent workshop, Education from DPAC, held on September 12 was very successful. 3. The district has been providing many SB opportunities. 4. Mr. Jordan requested more clarification in the reports regarding SB and DBE. 			
<p>H. District 4 Report – Bijan Sartipi, District Director Refer to the District 4 report posted on the OBEO web page.</p> <ol style="list-style-type: none"> 1. In regards to the report distributed: <ol style="list-style-type: none"> a. Two contracts going through District review valued at \$23.32 million should be available in October. b. Maintenance contracts – includes ongoing emergency contracts and District Director Orders. 			

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c. Procurement fair purchases in 2016 have reached \$1.29 million, which is much higher than the total purchases of \$974,000 in 2015. 2. Bay Bridge demolition continues – between October and November, the largest foundations are to be demolished; demolition is scheduled to conclude in 2018. 3. Names of contractors who achieve goal – performance of contractors in this regard is tracked; report is issued to the District 4 SBC. 4. Native American firms – the district is required to outreach to this community and work with them on the regional plan. 5. Re: non-UDBE in A&E – actual UDBE achievements are current; these are multi-year contracts begun when there was a UDBE requirement, which was dropped in 2012. 6. Other districts that track UDBE – per Ramon Carlos, OBEO, there are approximately six to eight contracts across the state that still have UDBE. 7. Council Member Zeke Patten noted higher levels of African American firm participation in Los Angeles and the Bay Area; stated District 4 has done a great job, and hopes District 7 will do the same. 8. Council Member Lee Cunningham asked if staff makes the difference – Mr. Sartipi responded by saying staff call on contractors and consultants quite often to get updates on their utilization and encourage firms to keep striving to make those achievements. Becky Alexander, District 2 Small Business Liaison added District 4 has four full-time SB liaisons, compared to most districts. 9. Mr. Ajise added while praising District 4's efforts, one should not discount efforts being made in the other districts. 10. Council Member Matthew Ajiake pointed out contractors can be hired to work all over the state, and therefore are not necessarily tied to one particular district.			
I. District 8 Report – David Knudsen for John Bulinski, District 8 Director Refer to the District 8 reports posted on the OBEO web page. Additional comments: 1. Tiffany Williams is the new District 8 Small Business Liaison. 2. Reports include regional activity to show the great level of DBE participation. 3. SB certification process – recently partnered with DGS to provide a very successful SB certification workshop; the district anticipates more growth in this area as a result.			
J. District 9 Report – Chair Salais reported out on behalf of District 9 Director Brent Green. Refer to the District 9 report posted on the OBEO web page.			
K. District 10 Report – Athena Cline, Deputy District Director, Administration, for District 10 Director Dennis Agar Refer to the District 10 reports posted on the OBEO web page.			
L. District 11 Report – Amer Bata, Deputy District Director, Construction, for Laurie Berman, District 11 Director Refer to the District 11 reports posted on the OBEO web page. Additional comments: 1. Chair Salais confirmed projects with UDBE goals were ongoing ones. 2. Council Member Arvin Chaudhary asked why to goals seemed low – Mr. Bata responded it was because the contracts were multi-level.			
M. District 12 Report – Cindy Azima, EEO/Risk Management, Administration, for District 12 Director Ryan Chamberlain Refer to the District 12 reports posted on the OBEO web page. Additional comments: Ms. Azima noted an increase in DBE participation following the district's June Certification Workshop; they will be following up in January with a workshop on how to do business with District 12.			

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N. Meeting record approval			
<ol style="list-style-type: none"> Council Member Eddy Lau requested an Action Item to be added to the log to provide correct statistics to the District 7 report related to the Gerald Desmond Bridge. Motion to approve the meeting record for July 15, 2016 with correction as noted, Council Member Leonard Ortiz; motion seconded by Council Member Zeke Patten. No further discussion. The ayes have it, motion carried; the meeting record of July 15, 2016 is approved. 			
O. DGS update – Tanya Little			
<ol style="list-style-type: none"> State Agency Recognition Awards (SARA) 2016 nomination period – call for nominations now open; deadline to submit is November 14; here is the link to the web page - https://www.dgs.ca.gov/pd/Home/SARA2016.aspx Survey on SB, DVBE gaps, dealing with state agencies, and related feedback should be out in late September. Annual Business Showcase – scheduled for February 2, 2017; to feature matchmaking, resources for businesses, including financing, etc. 			
P. Committee Meeting Reports			
Q. Commodities Committee – Zeke Patten, Chair			
<ol style="list-style-type: none"> Congratulations to Chair Salais for her appointment to the position of OBEO’s Assistant Director. Also thanked the District 2 Small Business Liaison, Becky Alexander, for making the council members feel welcome. The committee reviewed its goals – status of each goal, what still remains to be done. Will be visiting the Central Warehouse in November. SB 1176, Senators Galgiani and Hueso, Small Business Procurement and Contract Act – increases the maximum qualifying threshold for SB and MB for public contracts; adjusted to the fluctuations of the Consumer Price Index (CPI); currently on the Governor’s desk awaiting signature. [Update: this bill was vetoed by the Governor on 9/25/16 due to the high cost of modifying FI\$Cal just when the state is in the process of launching and implementing the FI\$Cal system.] 			
R. Construction Committee – Rebecca Llewellyn, Vice Chair			
<ol style="list-style-type: none"> Very low committee participation – three members present. Presentation provided by Ramon Carlos, OBEO, regarding the Disparity Study and the changes proposed – Ms. Llewellyn voiced strong opposition to the pending waiver regarding women owned businesses. Ideas and suggestions were discussed around the pending proposed changes and the opportunities available to voice concern to Caltrans through the upcoming public hearings. 			
S. Local Assistance/Professional Services Committee – Eddy Lau, Chair			
<ol style="list-style-type: none"> Mr. Lau noted it was a smaller group that met this time. Local Assistance compliance reviews per Robert Padilla – reviewed 9 firms, no discrepancies found. Scheduled SANDAG for September, Orange County and Riverside for October. DPAC’s new A&E Enhanced Consultant Selection Process – the enhanced selection process has removed the individual reference check, because it would have impacted upcoming DBE firms. The process task force is looking at this carefully to resolve. 			

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4. Safe harbor rate – extended to 12/31/16; looks like this will be a permanent program; over 100 requests are to be put on the safe harbor rate. Not certain how many firms are on contract with this rate – time will tell how it will impact DBEs. There is a 10-day turnaround on approval. Council Member Fred Jordan stated the initial overhead given to a new firm doing work for Caltrans is now 110%; if estimates are too far off, a firm could go out of business. 5. Vetting staff on construction projects – looking into vetting issues in District 7. 6. Labor compliance workshop is coming up – shared notice with members. 7. DPAC can limit participation in the interviewing process – concerns that DBEs will have less resources to participate at the same level as the larger firms. 8. Look ahead report – discussion around the practice that once a project is advertised, firms have 14 days to respond. 9. Reviewed goals and objectives from 2016 in anticipation of preparing for 2017 committee work.			
T. African American DBE Work Group – Eddy Lau 1. Mr. Jordan is organizing an outreach event in the San Francisco/Bay Area – currently negotiating with George Crosby, District 4 Small Business Liaison, to have the event held at the District 4 Office in October. a. Intend to have onsite SB certification as part of the program – will be asking DGS for assistance on providing this service. Ms. Little, DGS, requested the specifics on the event so she can put it on their calendar as soon as possible. b. DBE certification – this would be the next step after getting SB certification; would like to set up a computer providing a link for attendees could click on to explore this option. c. Caltrans Minor B awards – targeting certified African American firms to increase their participation. 2. The committee is watching how the October event fares to inform further events in Southern California. 3. Increasing interest in doing business with Caltrans – Mr. Carlos and team are assisting in this area of the committee’s work. 4. The work group is looking at increasing DBE certification, improving the level of utilization, and goal setting – taking things step by step.			
U. New Business - Please refer to the September Action Items listed in the log on page 3 of this meeting record. Other points: 1. Charlie Fielder, District 1 Director to look into providing a list of Native American firms who may be interested in participating in the SBC. 2. Re: Minor B – Mr. Lau noted micro-businesses (MB), which are larger than SBs, are largely ignored, although because of their larger size, might be a better fit for Minor B work. Perhaps the threshold might be adjusted, put more emphasis on MB participation. 3. Re: UDBE projects – these are older projects; per Mr. Carlos, there are seven contracts statewide carrying the UDBE designation, districts currently carrying these projects include Districts 3, 4, 5, 8, 10, and 11.			
V. Public Comment Appreciation expressed for the efforts of District 2 Small Business Liaison, Becky Alexander, for arranging the tour and dinner afterwards, as well as District 1 liaison, Matthew Phelp, and District 3 liaison, Kami Sran, for their assistance on both Thursday and Friday.			
W. Meeting adjourned – meeting adjourned at 11:15 a.m.			
Next meeting: November 17 & 18, 2016, Sacramento	Carole Ching	10-19-16	Members notified via email of upcoming November meetings in Sacramento.

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DOCUMENTS included in the meeting packet and/or distributed at the meeting:

- Meeting agenda
- Draft of meeting record, July SBC meeting
- Award Tracker Report, August 2016, Office Engineer
- Report, OBEO, DBE Commitment at Award, District Summary of Federal-Aid Major Construction Contracts, 8/31/16
- Report, OBEO, Disabled Veteran Business Enterprise (DVBE) Commitment at Award, State-Funded Contracts, August 2016
- Report, OBEO, DVBE Commitment at Award by District, State Fiscal Year 2016-2017
- Report, OBEO, DBE Commitment at Award, on Federally Funded Major Construction Contracts, 10/1/15 – 8/31/16
- Report, OBEO, FHWA – Federally Funded Contracts (Awarded), August 2016
- Report, OBEO, DBE Commitment at Award, Federally Funded A&E and Minor B contracts – 10/1/2015 – 7/31/16
- District 1, SB Update
- District 2, SB Update
- District 3, SB Update; Construction Projects, 24-Month Look Ahead
- District 4, SB Update/Look Ahead
- District 8, SB Update; Construction Look Ahead
- District 9, SB Update
- District 10, SB Update; Construction Look Ahead
- District 11, SB Update; 6-Month Look Ahead
- District 12, SB Update; Projects to Advertised in 2 Years (including Minors)

PRESENT

Council Members:

- | | |
|---------------------------------------|---|
| 1. Ajiake, Matthew (Teleconference) | 8. Jordan, Frederick |
| 2. Chaudhary, Arvin | 9. Kim, Hongjoo (Teleconference) |
| 3. Churchwell, Dr. Caesar (Alternate) | 10. Kim, Jason (Teleconference) |
| 4. Cunningham, Lee | 11. Lau, Eddy |
| 5. Fowler, Rick (Teleconference) | 12. Llewellyn, Rebecca (Teleconference) |
| 6. Hou, Johnathan | 13. Ortiz, Leonard |
| 7. Hunsaker, Debbie (Teleconference) | 14. Patten, Zeke |
| | 15. Shoemake, Ken |

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29. Williams, Tiffany, District 8

Caltrans Staff:

1. Ajise, Kome, Chief Deputy Director
2. Salais, Janice, Assistant Director, OBEO & Acting Council Chair
3. Alexander, Rebecca, District 2
4. Azima, Cindy, District 12 (Teleconference)
5. Bata, Amer, District 11
6. Carlos, Ramon, OBEO
7. Chamberlain, Ryan, District 12
8. Ching, Carole, OBEO
9. Cline, Athena, District 10
10. Elkins, Susan, District 3
11. Embree, Rob, District 3
12. Fielder, Charlie, District 1
13. Gouthier, Cheri, District 11 (Teleconference)
14. Knudsen, David, District 8
15. Londen, Freda, District 2
16. Maloney, Pat, Construction
17. Moore, Dave, District 2
18. Olson, Kimberley, Construction
19. Padilla, Robert, Local Assistance
20. Philp, Matthew, District 1
21. Philippon, Elizabeth, District 8 (Teleconference)
22. Sartipi, Bijan, District 4
23. Schluter, Kelly, OBEO (Teleconference)
24. Sequeira-Smith, Alicia, OBEO (Teleconference)
25. Solis, Mario, OBEO (Teleconference)
26. Sran, Kami, District 3
27. Van Buren, Sharon, District 11 (Teleconference)
28. Walsh, Brian, District 12 (Teleconference)

Guests:

1. Little, Tanya, DGS
2. Yokota, Lance, FHWA (Teleconference)